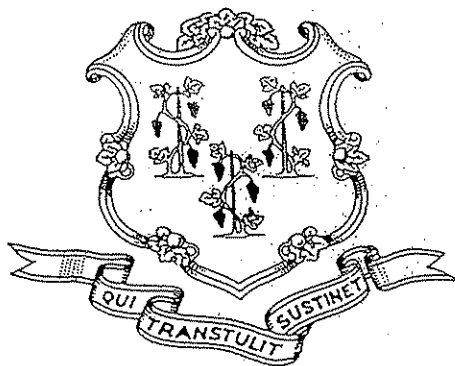


**U.S. Department of Transportation  
National Highway Traffic Safety Administration**

**DTNH22-04-H-05110**

**Grant Application**

**State of Connecticut**



**Connecticut Impaired Driving Records  
Information System**

Office of Policy and Management  
Policy Development and Planning Division  
450 Capitol Avenue, MS#52CDP  
Hartford, Connecticut 06106-1365

# APPLICATION FOR FEDERAL ASSISTANCE

Version 7/03

1. TYPE OF SUBMISSION: Application		2. DATE SUBMITTED July 20, 2004	Applicant Identifier
Construction		3. DATE RECEIVED BY STATE	State Application Identifier
Non-Construction		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name:		Organizational Unit:	
State of Connecticut		Department: Office of Policy and Management	
Organizational DUNS: 807853015		Division: Policy Development and Planning Division	
Address:		Name and telephone number of person to be contacted on matters involving this application (give area code)	
Street:		Prefix:	First Name:
450 Capitol Avenue, MS52CPD		Mr.	Theron "Terry"
City: Hartford		Middle Name A.	
County:		Last Name Schnure	
State: Connecticut	Zip Code 06106-1365	Suffix:	
Country:		Email: terry.schnure@po.state.ct.us	
6. EMPLOYER IDENTIFICATION NUMBER (EIN):		Phone Number (give area code)	Fax Number (give area code)
06-6009798		860/418-6390	860/418-6496
8. TYPE OF APPLICATION:		7. TYPE OF APPLICANT: (See back of form for Application Types)	
<input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision		A. State	
If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.)		Other (specify)	
Other (specify)		9. NAME OF FEDERAL AGENCY: USDOT-NHTSA, DTNH22-04-H-05110	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
20-6000		Connecticut Impaired Driving Records Information System	
E (Name of Program):			
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):			
State of Connecticut			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
Start Date: October 1, 2004	Ending Date: September 30, 2006	a. Applicant CT01, CT02, CT03, CT04, CT05	
		b. Project	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$ 1,666,130.00	a. Yes. <input checked="" type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON	
b. Applicant	\$ .00	DATE: July 20, 2004	
c. State	\$ .00	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372	
d. Local	\$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
e. Other	\$ .00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
f. Program Income	\$ .00	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input checked="" type="checkbox"/> No	
g. TOTAL	\$ 1,666,130.00		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Authorized Representative			
Prefix Ms.	First Name Anne	Middle Name	
Last Name Gnazzo	Suffix		
b. Title Deputy Secretary	c. Telephone Number (give area code)		
Signature of Authorized Representative	860/418-6500		
	e. Date Signed July 19, 2004		

**ASSURANCES - NON-CONSTRUCTION PROGRAMS**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

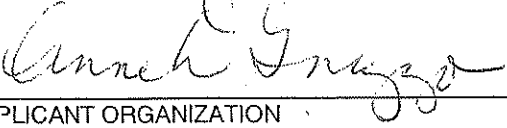
**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 		TITLE Deputy Secretary
APPLICANT ORGANIZATION State of Connecticut, Office of Policy and Management		DATE SUBMITTED July 19, 2004

**STATE OF CONNECTICUT**  
**National Highway Traffic Safety Administration**  
**Application for Model Impaired Driving Records Information System Funding**  
**NHTSA Cooperative Agreement No. DTNH22-04-H-05110**

**Project Narrative Statement**

U.S. Department of Transportation  
National Highway Traffic Safety Administration (NHTSA)

**Model Impaired Driving (DUI) Records Information System**

Connecticut has an opportunity to apply for funding which would expand the law enforcement and court handling of driving under the influence (DUI) offenses. Interest was actually spawned through discussions occurring between staff from the Department of Motor Vehicles (DMV), Department of Transportation (DOT), Judicial, and subsequently with law enforcement. The discussions focused on Connecticut's Criminal Justice Information System (CJIS)-Offender Based Tracking System (OBTS) as being the mechanism to host (include) the DUI records information system. The Office of Policy and Management (OPM) has been approached to include the Impaired Driving Records Information System in the CJIS-OBTS.

NHTSA is seeking applications for a cooperative agreement award to implement an impaired driving (DUI) records information system. The award may be in an amount up to \$2 million; with the OBTS and the completed Connecticut Traffic Citation Adjudication System Study (TCAS), Connecticut is in a strong position to maximize the impact of an award. Because of the established functionality of the OBTS with criminal DUI cases, OPM is to be the applicant agency. This is with the concurrence of the DOT and the support of the DMV and the Judicial Branch.

The focus of the award program is to provide automated, current, and accurate records of impaired driver offenses to law enforcement, licensing agencies, and criminal justice agencies to make sound decisions when responding to drivers who are demonstrating unsafe driving.

Several points make the OBTS a very logical and recommended host ---

- Data on criminal prosecution and disposition of DUI offenses is already included in the OBTS.
- The OBTS provides an accurate and real time capability for reporting offense data, including DUI data, to law enforcement and court personnel.
- An electronic citation process was recommended by TCAS. The TCAS was written by the DMV with support from other criminal justice information system agencies, and sets the stage for providing timelier reporting of DUI offenses to the OBTS, the DMV, and the court.

- The OBTS has a database capability that can generate reports on DUI activity.

An area requiring attention is the DMV's Driving History Record database to which court convictions as well as administrative processing of DUI offenses (i.e. Administrative Per Se--Implied Consent) occur. The Administrative Per Se hearing process and any operator license suspensions, are maintained in the DMV's information system. A procedure/program would need to be established to extract and report those applicable Administrative Per Se hearing process dispositions, as well as other DUI related operator license convictions (such as Driver License Compact DUIs) and/or suspensions, to the OBTS from the driving history database.

The OBTS infrastructure can support the receipt of administrative DUI offense and disposition information from the DMV; it already is receiving like criminal data from the court. Very few, if any, additional operating costs would be assumed by the OBTS. However, to capture and record DMV's Administrative Per Se data and other DUI related administrative actions, funding would be needed for the added module programming in the OBTS and for assisting with the extracting and transmitting of administrative actions residing on DMV's driving history file information to OBTS.

### **Summary of DUI Information System Functions Applicable to Connecticut**

The Impaired Driving (DUI) Records Information System will enable Connecticut to much more effectively and efficiently carry out the following functions:

1. Appropriately identify, charge, and sanction impaired driving offenders, utilizing their driving history;
2. Manage impaired driving cases from arrest through the completion of court and administrative sanctions;
3. Recognize geographic areas and trends, evaluate countermeasures, and identify problematic components of the overall impaired driving control system;
4. Provide law enforcement and court personnel offender information to properly respond to offenses; and
5. Reduce administrative costs and increase efficiencies for dealing with impaired driving (DUI) and at the same time address drivers with other types of impairments.

## TABLE OF CONTENTS

A.	SUMMARY OF CONNECTICUT'S DRIVING UNDER THE INFLUENCE (DUI) LAWS .....	8
	CRIMINAL PENALTIES FOR OPERATION UNDER THE INFLUENCE .....	8
	DUI ADMINISTRATIVE LAWS AND SANCTIONS .....	9
	ADMINISTRATIVE PER SE SANCTIONS FOR OPERATION UNDER THE INFLUENCE IMPLIED CONSENT .....	9
B.	STAKEHOLDERS IN CONNECTICUT'S IMPAIRED DRIVING SYSTEM AND THEIR EXISTING SYSTEM FOR COLLECTING AND TRANSMITTING IMPAIRED DRIVING INFORMATION .....	11
	THE CONNECTICUT TRAFFIC CITATION ADJUDICATION COMMUNITY .....	11
	THE TCAS CONTEXT .....	12
	THE TCAS OPERATIONAL BUSINESS FUNCTIONS .....	13
	AGENCY CRIMINAL JUSTICE INFORMATION SYSTEMS .....	14
	OBTS VISION .....	15
C.	UNIFORMITY OF COLLECTION AND MANAGING INFORMATION .....	16
	CITATION WORK FLOW .....	18
	COMPLAINT TICKET ARREST "As-Is" BUSINESS PROCESS .....	19
	CENTRALIZED INFRACTIONS BUREAU CASE TRANSFER "As-Is" BUSINESS PROCESS .....	20
	MISDEMEANOR, SUMMONS, COMPLAINT ARREST "As-Is" BUSINESS PROCESS .....	21
	WORKFLOW LEGEND .....	22
	DEFICIENCIES IN CURRENT TRAFFIC CITATION ADJUDICATION SYSTEMS .....	23
D.	EVIDENCE OF ANY SYSTEMATIC ASSESSMENT OR DOCUMENTATION OF THE IMPAIRED DRIVING INFORMATION SYSTEM, INCLUDING A TRAFFIC RECORDS ASSESSMENT, AND ANY LONG-TERM IMPROVEMENT PLANS .....	25
E.	DESCRIPTION OF THE EXTENT TO WHICH CONNECTICUT CURRENTLY MEETS THE TEN SPECIFIC FEATURES OF THE MODEL SYSTEM AND CHALLENGES AND/OR BARRIERS. ....	26
	TCAS CURRENT OPERATIONAL WORKFLOW .....	29
F.	PROJECT PLAN .....	30
	1. COLLECTION OF INFORMATION .....	30
	o Roadside .....	30
	o Station .....	30
	o Interfaces .....	30
	2. MANAGEMENT/DISSEMINATION OF INFORMATION .....	30
	o Operational Environment .....	30
	o Decision Support Environment (Traffic Citations Repository) .....	30
	o Decision Support (OBTS Repository) .....	30
	COST ESTIMATE: .....	31
G.	DESCRIBE PROJECT PLAN'S IMPROVEMENTS/INNOVATIONS IN DETAIL; PERCENT OF STATE'S SYSTEM AFFECTED. ....	33
H.	INNOVATIONS TO HARDWARE OR SOFTWARE AND METHODS TO BE EMPLOYED (INCLUDING COSTS) .....	35
I.	DESIGNATED LEAD AGENCY AND PROJECT DIRECTOR: .....	36
J.	SPECIFY A MECHANISM FOR ENSURING PARTICIPATION OR BUY-IN OF THE STAKEHOLDERS THROUGHOUT PROJECT .....	38



K.	PROPOSED LEVEL OF EFFORT, INCLUDING STAFFING PLAN.....	39
L.	PROPOSED BUDGET FOR PERFORMANCE OF THIS COOPERATIVE EFFORT.....	40
M.	FINANCIAL RESOURCES.....	44
N.	LETTERS OF ENDORSEMENT .....	45
O.	EVIDENCE THAT CONNECTICUT HAS HAD A HISTORY OF SUPPORTING IMPROVEMENTS TO THE IMPAIRED DRIVING INFORMATION SYSTEM AND USING UP-TO-DATE TECHNOLOGIES AND INNOVATIONS:.....	46
P.	PAST PERFORMANCE AND FINANCIAL RESPONSIBILITY .....	48

### **Model Impaired Driving (DUI) Records Information System Proposal:**

There are four components to the Connecticut approach to the Model Impaired Driving (DUI) Records Information System:

- E-Citations
- Integration/interface with Judicial and DMV information
- Integration/interface of offender-based data (OBTS)
- Decision Support
  - Real-time Operational Data Store (ODS) supporting
    - Citation Tracking;
    - Law Enforcement Events; and
    - DMV Information (Driving Histories, Operator License Credential Status)
  - Offender-based information repository (OBTS)
  - Traffic Records/Case-related information repository (i.e. traffic citation tracking system) accessible to all traffic safety related agencies

The Decision Support component operates from the citation system through the integration with Judicial, the DMV, and the interface with the OBTS.

### **Currently Operational**

The following support facilities are already operational, or in some cases being presently developed:

- Judicial Information System (reports court dispositions) includes:
  - Centralized Infractions Bureau (CIB)- Infractions
  - Courts- Criminal and Misdemeanor and Summons related offenses.
- DMV's driving history, operator license, and vehicle information are electronically available to law enforcement through the Connecticut On-Line Law Enforcement Communication Teleprocessing system (COLLECT).
- DMV's driving history and operator license information are electronically available on a real-time basis to the courts, CIB, and the State's Attorney's Office.
- Court disposition information is electronically available on a real-time basis to DMV.
- CJIS/On-line Booking development of a request for proposal
- Real-time On-line Registration (RTOL) RFP proposal (vehicle information- bar-coding)
- AAMVA-compliant bar-coding of Operator License (PDF 417)
- Offender-Based Tracking System (OBTS)
  - Already handles court DUI offenses
  - Provides query infrastructure on offender data to judicial and law enforcement agency staff
  - Infrastructure for integration of DUI current data from DMV (Per Se, etc) data

- Nearly state-wide Mobile Data Communication System for municipalities participating in the Connecticut Area Police Total Access Information Network (CAPTAIN) currently 85 of the 100 municipal law enforcement agencies.
- Connecticut State Police's (CSP) statewide Records Management System, Computer Aided Dispatch, and Mobile Data Terminal communication network.
- Critical interdepartmental organizational structures are in place and are operational:
  - Criminal Justice Information System Board.
  - Traffic Records Coordinating Committee.

## A. Summary of Connecticut's Driving Under the Influence (DUI) Laws

Connecticut law prohibits the operation of a motor vehicle (1) while under the influence of intoxicating liquor, or any drug, or a combination of both, or (2) while such person has an elevated blood alcohol content (BAC). Connecticut law has adopted a .08 or greater BAC standard as the legal limit, a .04 or greater BAC for persons while operating a commercial motor vehicle, and a .02 or greater BAC for persons under the age of twenty-one (21) years of age (i.e. Zero Tolerance).

Connecticut DUI laws include a variety of penalties and/or sanctions based upon the alcohol concentration as well as prior DUI related offenses. The following table reflects Connecticut's current penalties and/or sanctions for DUI court convictions.

### Criminal Penalties For Operation Under The Influence

COURT CONVICTIONS	1 <sup>st</sup> Offense	2 <sup>nd</sup> Offense within 10 years *	3 <sup>rd</sup> Offense within 10 years *
<b>Fine</b>	\$500-\$1,000	\$1,000-\$4,000	\$2,000-\$8,000
<b>Imprisonment</b>	6 months or less, with 48 consecutive hours mandated; or 6 months or less suspended, with 100 hours of community service as a condition of probation.	2 years, 120 days minimum mandatory, and upon probation, 100 hours of community service.	3 years, with one year minimum mandatory, and upon probation, 100 hours of community service.
<b>Operator License or Nonresident Operating Privilege Suspensions</b>	1 year	3 years, or until person reaches 21 <sup>st</sup> birthday, whichever is longer/ Court ordered Ignition Interlock Device (1 year suspension/2 years approved IID installed).	Permanent Revocation

\*Note: For the purposes of imposition of penalties for a second or third DUI offense, Connecticut law requires that a criminal conviction of Manslaughter in the 2<sup>nd</sup> degree and/or Assault in the 2<sup>nd</sup> degree while operating a motor vehicle under the influence of intoxicating liquor, or any drugs, or a combination of both, shall constitute, and be counted, as a prior DUI conviction. Each of these offenses, for a first conviction, requires a one-year suspension of the operator's license or nonresident's operating privilege.

In compliance with Connecticut law, a DUI conviction will be recorded and retained on the appropriate operator's driving history record for ten (10) years.

In addition to the penalties and sanctions imposed by the courts, a first time DUI offender may make application to the Alcohol Education Program (AEP) administered

by the Judicial Branch's Bail Commission. A person convicted of DUI while operating a commercial motor vehicle (CMV) is prohibited from applying for the AEP. If a person successfully completes the AEP, the court will dismiss the charge and transmit the completion to DMV. DMV will record the AEP designation on the operator's driving history record for seven years.

A court may also require the person convicted of DUI, as part of his/her probation, to participate in a victim impact panel program.

Additionally, Connecticut law requires, for the purposes of examining the presence and concentration of alcohol and as part of the investigation of any motor vehicle accident resulting in a fatality, that a blood sample be taken from the body of the operator or pedestrian who dies as a result of such accident. A blood or breath sample may also be obtained from any surviving operator whose motor vehicle is involved in such an accident.

Furthermore, Connecticut law requires a law enforcement officer to impound the motor vehicle, for a period of 48 hours, after the arrest of an operator who is arrested for DUI and whose license or right to operate a motor vehicle is currently under suspension.

Lastly, Connecticut also has an offense of drinking while operating any motor vehicle, under section 53a-213 of the Connecticut General Statutes.

### DUI Administrative Laws and Sanctions

Connecticut has adopted an "Implied Consent" law (A/K/A Administrative Per Se) which provides that any person operating a motor vehicle is deemed to have given his/her consent to a chemical analysis of blood, breath, or urine, and if such person is a minor, such person's parent or parents or guardian shall be deemed to have given their consent to a chemical test of blood, breath, or urine.

### Administrative Per Se Sanctions For Operation Under The Influence Implied Consent

BAC	1 <sup>st</sup> Offense	2 <sup>nd</sup> Offense within 10 years	3 <sup>rd</sup> Offense within 10 years
Refusal to submit to a blood, breath, urine test	6 months	1 year	3 years
Test results of .02 or higher and person is under 21 years of age	90 days	9 months	2 years
Test results of .08	90 days	9 months	2 years

or higher			
Test results of .16 or higher	120 days	10 months	2 ½ years
Administrative Per Se- BAC	1 <sup>st</sup> Offense	2 <sup>nd</sup> Offense within 10 years	3 <sup>rd</sup> Offense within 10 years
Test results of .04 or higher while operating a CMV	1 year CDL disqualification	Lifetime CDL disqualification	

\* Note: Commercial Driver License (CDL) disqualifications would additionally include any DUI court convictions.

Connecticut's Implied Consent law requires, in circumstances where an individual has refused to submit to a chemical test or has submitted to such a test and the test indicates an elevated blood alcohol content of .08 BAC or higher, that a law enforcement officer immediately revoke and take possession of the operator's license for a twenty-four hour period. Additionally, in the 2004 legislative session, the Connecticut General Assembly adopted a revision to the Implied Consent law which permits the DMV to suspend an operator's license or nonresident operating privilege effective upon the date of the suspension notice if the operator had a prior DUI conviction within the past ten years OR if an accident had occurred. In this type of situation, the individual would be afforded the opportunity for an administrative hearing, though it would occur after the license or nonresident operating privilege had already been suspended.

In compliance with Connecticut law, an Administrative Per Se offense will be recorded and retained on the appropriate operator's driving history record for ten (10) years.

In addition to the Implied Consent law, Connecticut law requires mandatory participation in the Substance Abuse Treatment Program (SATP), which is an alcohol/drug assessment and treatment program administered by DMV, upon a single DUI court conviction, or for two Administrative Per Se offenses. Connecticut law requires satisfactory completion of the SATP prior to the restoration, or reinstatement, of the individual's operator license or nonresident operating privilege, under section 14-227f.

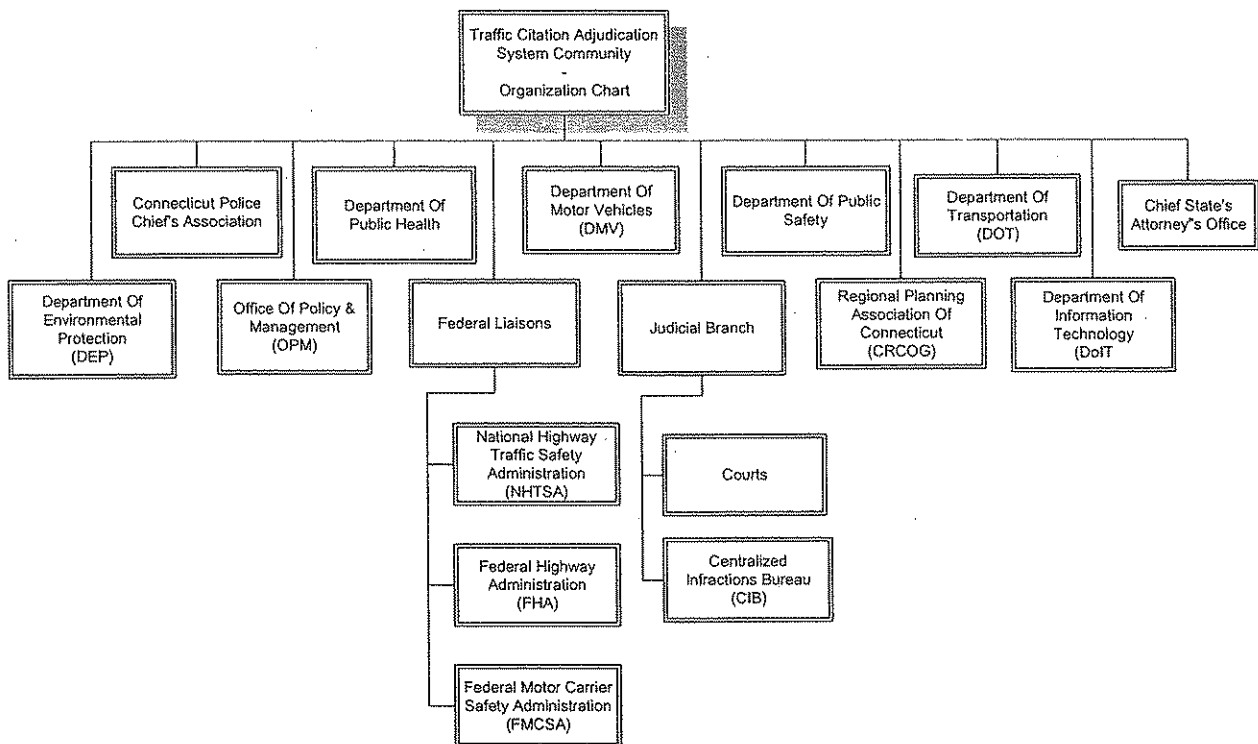
The DMV administers the Operator Retraining Program, which is a program that requires an operator to attend a class on driver retraining based upon a number of variables such as the number of moving violations and/or suspension offenses within a certain duration, the age of the operator, and the agency's record/violation retention schedule. A conviction of DUI, or Manslaughter in the Second Degree, and/or Assault in the Second Degree, are offenses counted for participation in the program. Additionally, the retraining program's curriculum, as mandated by the Regulations of

Connecticut State Agencies, includes instruction on the effects of alcohol and drug use on the operation of a motor vehicle.

**B. Stakeholders in Connecticut's impaired driving system and their existing system for collecting and transmitting impaired driving information**

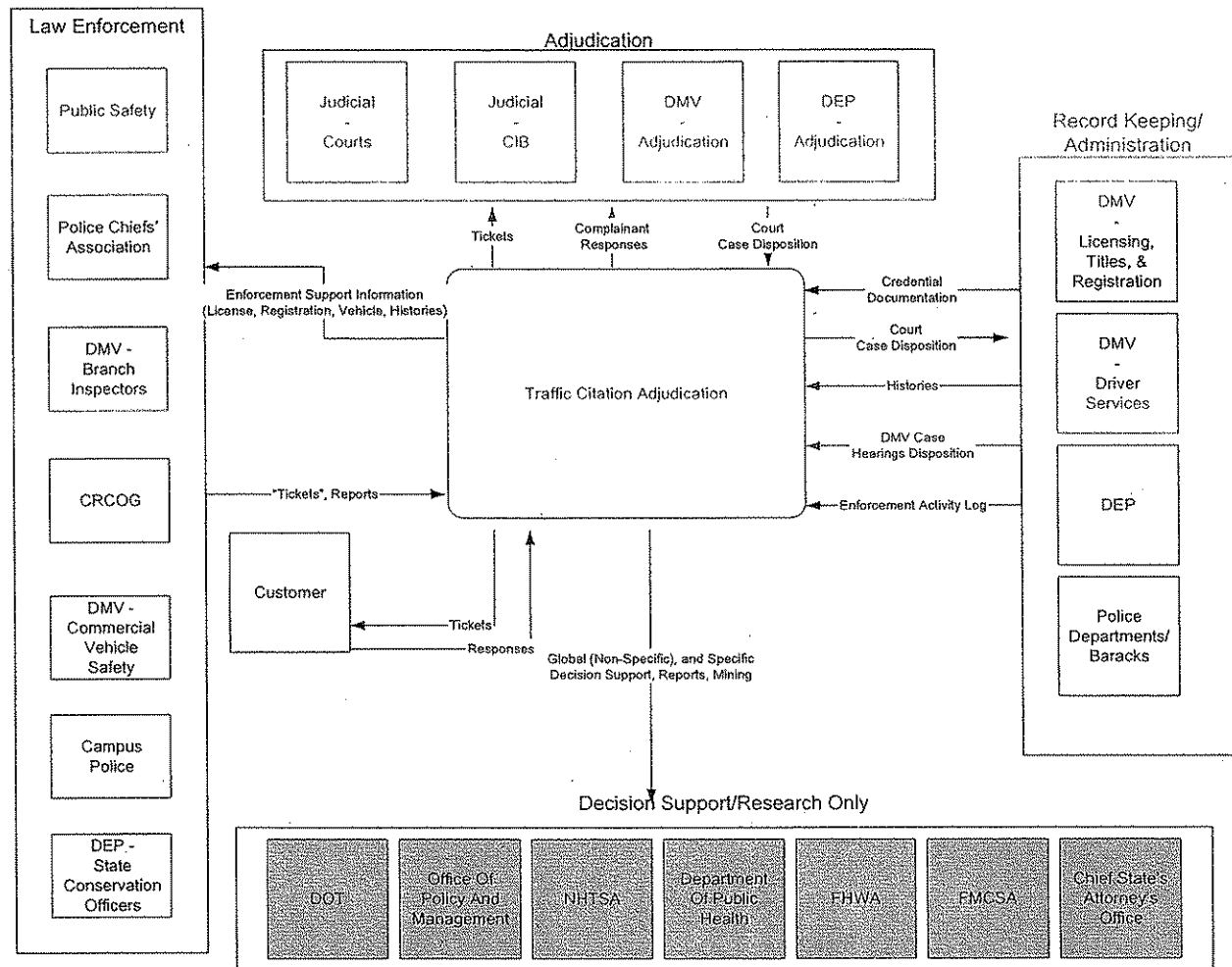
**The Connecticut Traffic Citation Adjudication Community**

The Traffic Citation Adjudication community consists of agencies and organizations that deal either with the day-to-day operational environment and have a need to research the events that occur in (TCAS) as well, and others that have an interest in the Decision Support Systems (DSS)/research aspects alone.



## The TCAS Context

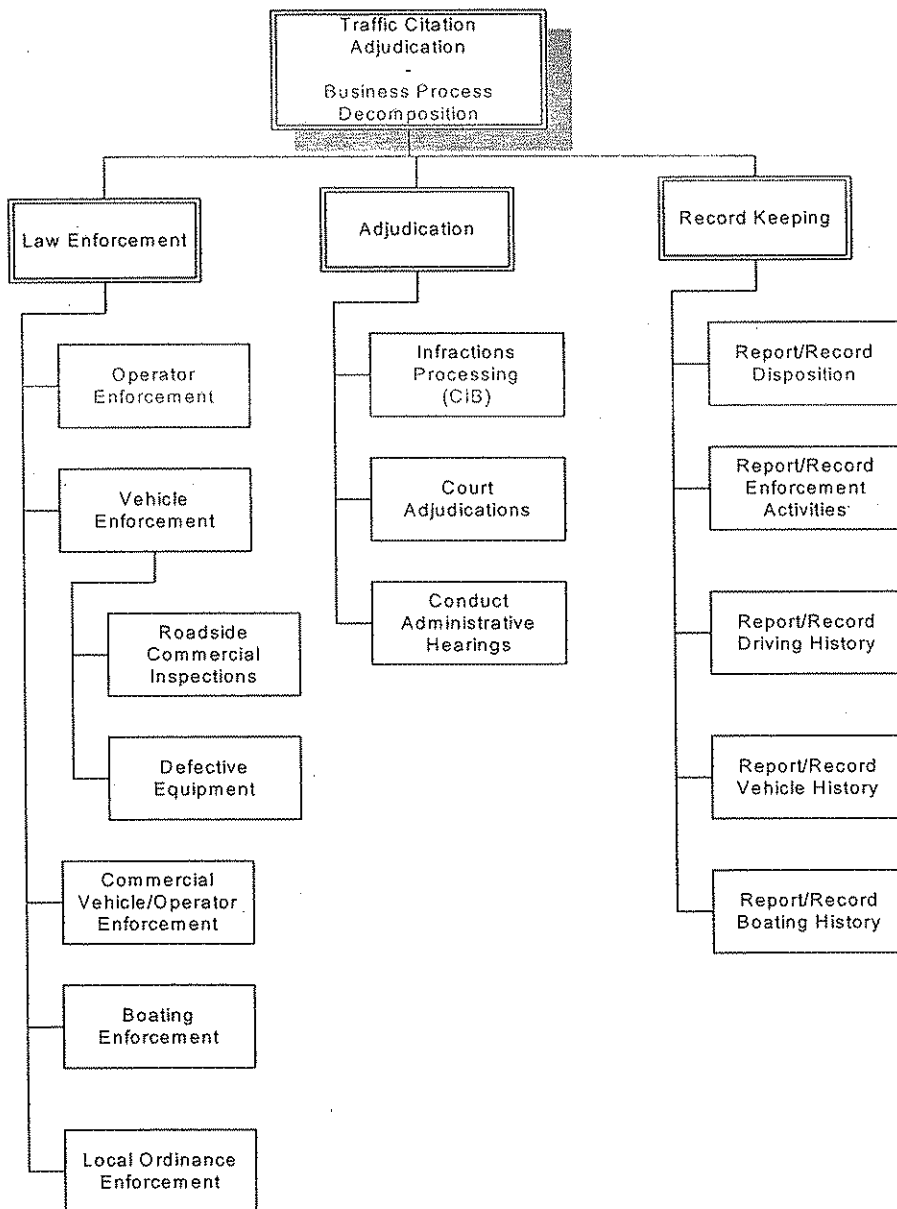
This depicts the overall data and functional view of TCAS





### The TCAS Operational Business Functions

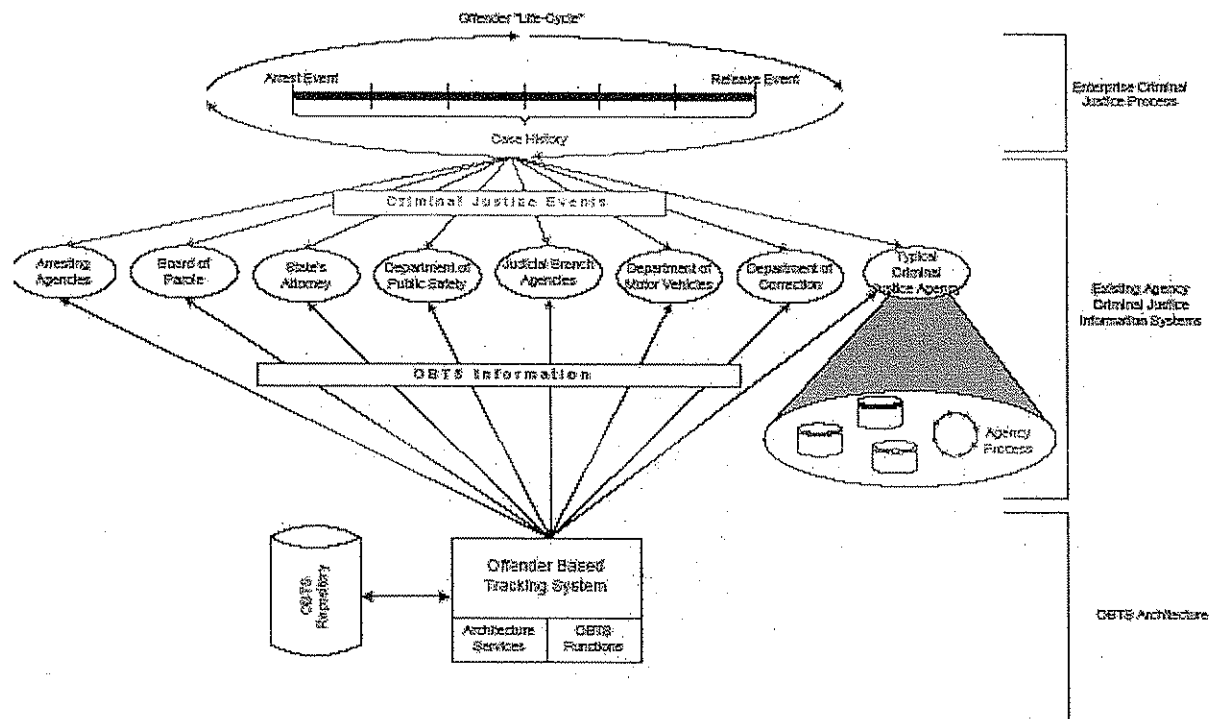
We divide the operational side of the traffic citation adjudication into either Law Enforcement, Adjudication, and Record Keeping (Data Management).



## AGENCY CRIMINAL JUSTICE INFORMATION SYSTEMS

Agency	System
Arresting Agency	<ul style="list-style-type: none"> <li>Records Management System (RMS)</li> </ul>
Board of Parole	<ul style="list-style-type: none"> <li>Board of Parole Information System (BPIS)</li> </ul>
Department of Correction	<ul style="list-style-type: none"> <li>Offender Based Information System (OBIS)</li> </ul>
Department of Motor Vehicles	<ul style="list-style-type: none"> <li>Department of Motor Vehicle drivers license system</li> </ul>
Department of Public Safety	<ul style="list-style-type: none"> <li>Connecticut On-Line Law Enforcement Communications Teleprocessing (COLLECT)</li> <li>Sex Offender Registry</li> <li>Computerized Criminal History (CCH)</li> </ul>
Judicial	<ul style="list-style-type: none"> <li>Adult Probation On-Line Information System (APOLIS)</li> <li>Alcohol Education</li> <li>Adult Management Information System (ADMIS – the Office of Alternative Sanctions Microsoft Access system)</li> <li>Bail Commission Information System (BCIS)</li> <li>Centralized Infractions Bureau (CIB)</li> <li>Criminal Motor Vehicle System (CRMVS)</li> <li>Victim Notification</li> </ul>

## OBTS Vision



### **C. Uniformity Of Collection and Managing Information**

Connecticut utilizes **uniform, standard, and statewide paper citation forms**.

Currently all law enforcement entities utilize the following uniform citations:

- Complaint Ticket- Infractions- Payable by Mail;
- Misdemeanor and Summons Complaint- Serious motor vehicle offenses, such as DUI, that require a mandatory court appearance;
- Uniform Arrest Report - Criminal (felony and misdemeanor) offenses;
- A-44 Officer's DUI Arrest and Alcohol Test Refusal or Failure
- PR-1 Report- Accident/Crash Report
  - Currently, certain municipalities participating in the Connecticut Area Police Total Access Information Network (CAPTAIN) are piloting an electronic data capture of accident information at roadside utilizing Bluelink. Bluelink was developed as an automated law enforcement inquiry and data collection facility application utilizing mobile data terminals in patrol cars. Bluelink provides the electronic link from the police vehicles to individual police departments and to a regional communication database server suite (NCIC, DMV data, etc...).
  - Additionally, Connecticut received a federal grant to implement the Commercial Vehicle Analysis Reporting System (CVARS) that will electronically capture, populate, and transmit commercial vehicle accident data to FMCSA's SafetyNet System.

### **Connecticut On-Line Law Enforcement Communication Teleprocessing (COLLECT)**

Connecticut law enforcement entities have statewide access through the Connecticut On-Line Law Enforcement Communication Teleprocessing (COLLECT) to NCIC, NLETS, and DMV operator and vehicle information.

**Connecticut Area Police Total Access Information Network (CAPTAIN)** includes approximately 80 to 85 municipal law enforcement agencies throughout Connecticut that have access to a standardized mobile data system from their police vehicles.

**The Judicial Department (i.e. Courts) is a unified entity in Connecticut.** The Judicial Branch's Judicial Information System (JIS) is a statewide, unified court information management system that captures and records all court related information (Centralized Infractions Bureau and the Courts), including DUI convictions. JIS transfers dismissals, nolle, conviction information, and Failure to Appear violations on a daily basis to DMV for posting to the driving history file. Additionally, DMV has electronic access to the courts management information system.

**The Criminal Justice Information System (CJIS) - Offender Based Tracking System (OBTS)** was created as an enterprise-wide integrated criminal justice system that provides a single source repository of offender case data that is accurate, verifiable,

timely, and available to all criminal justice agencies. It serves both law enforcement and the Judicial functions. Furthermore, CJIS-OBTS incorporates query capabilities to an extract database providing for public access to offender data without identifying information for research/statistical purposes only.

Connecticut, through the auspices of the Office of Policy and Management (OPM), is developing a Request for Proposal (RFP) for the Criminal Justice Information System (CJIS) -On-Line Booking System. The system, as being developed, will provide law enforcement at the station house with a statewide common booking system and will be utilized to capture, transmit, and integrate arrest information directly into the court's information system for use by the courts.

- Initiating the adjudication and scheduling court appearances for the offense;
- Providing real-time booking information to the Offender-Based Tracking System (OBTS);
- Populating fingerprint, live scan devices to obtain immediate identification;
- Notifying the state's criminal history file of the arrest and booking;
- Providing person and arrest data (offender data) to the law enforcement records management; and
- Notifying the driving history database on offenders involved in impaired driving offenses.

**DMV's operator license and driving history file** are electronically accessible, on a real-time basis, to not only law enforcement, but are also available to the courts, CIB, and the Chief State's Attorney's Office.

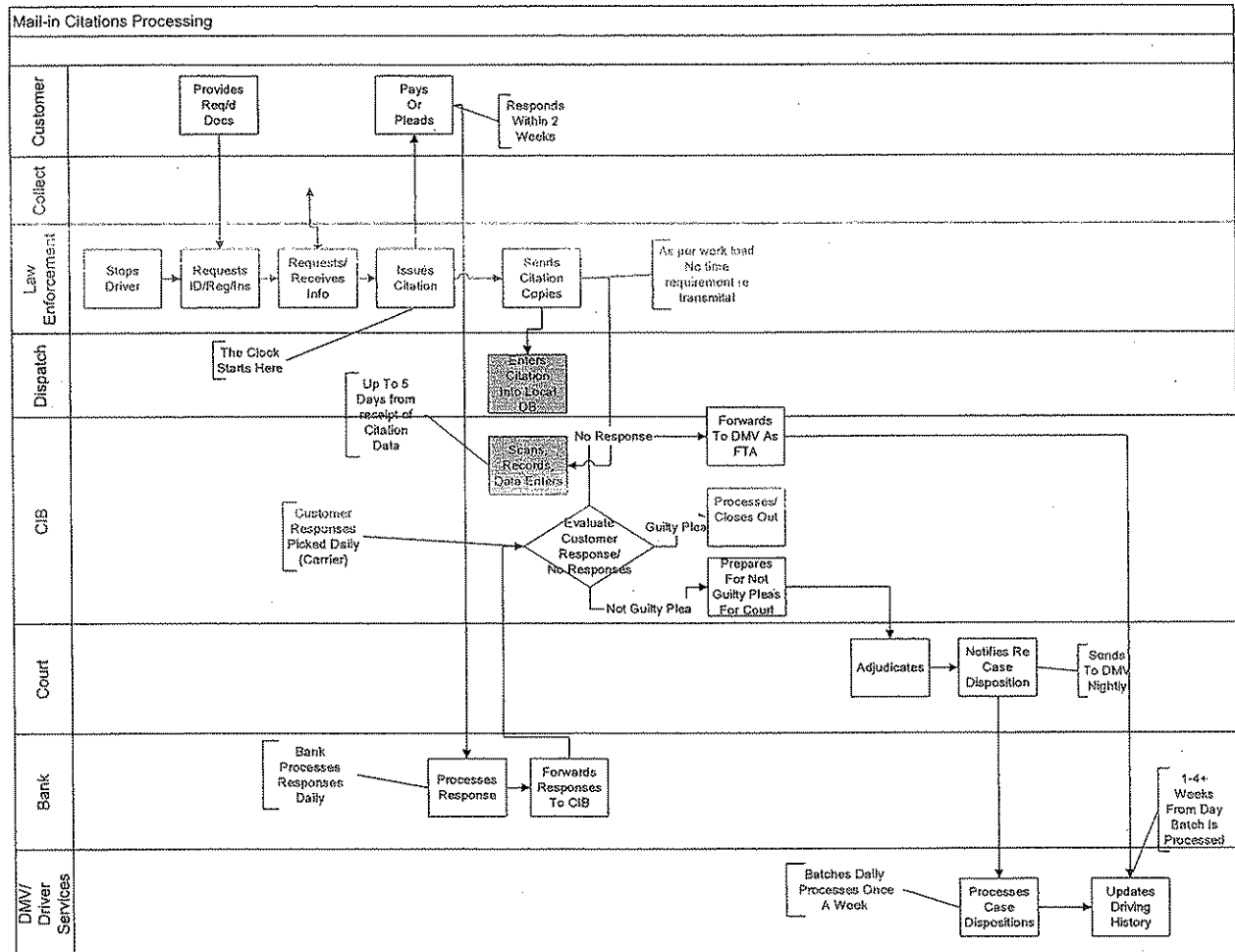
#### **Traffic Citation Adjudication Data Warehouse/Decision Support System**

The Traffic Citation Adjudication System (TCAS) study completed in December of 2003, identified the need for a central, statewide traffic citation adjudication tracking database system to monitor and track citations from its inception through to the recording of its respective disposition. The preliminary design of this system in the TCAS study would provide a much needed central, statewide repository and tracking database for the traffic citation adjudication community for monitoring all citation offenses, including DUI, in a real-time manner.

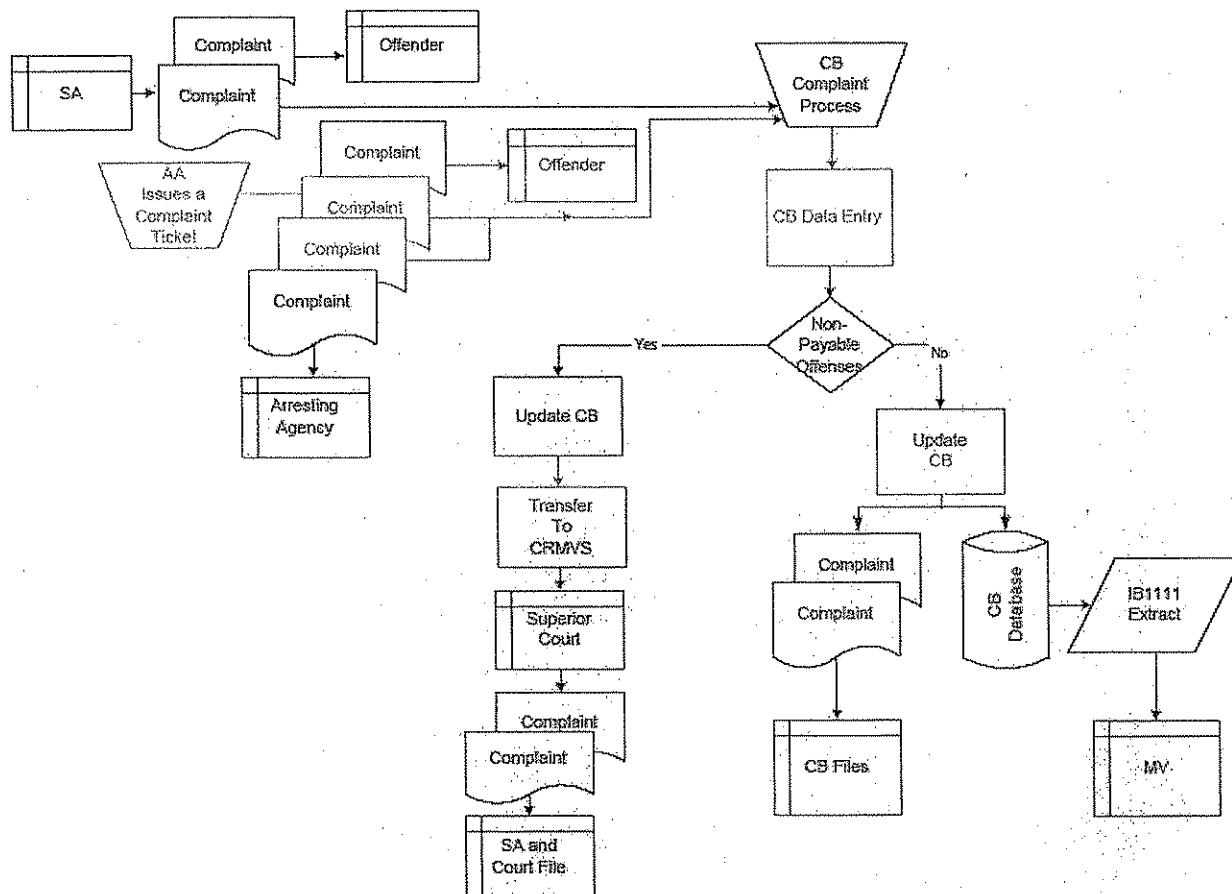
**Judicial Branch's On-line Statute file** electronically provides state statute information, and the respective revisions, to law enforcement. This file is being enhanced to include local ordinances as well.

The following are process flow diagrams describing the citation information flow process.

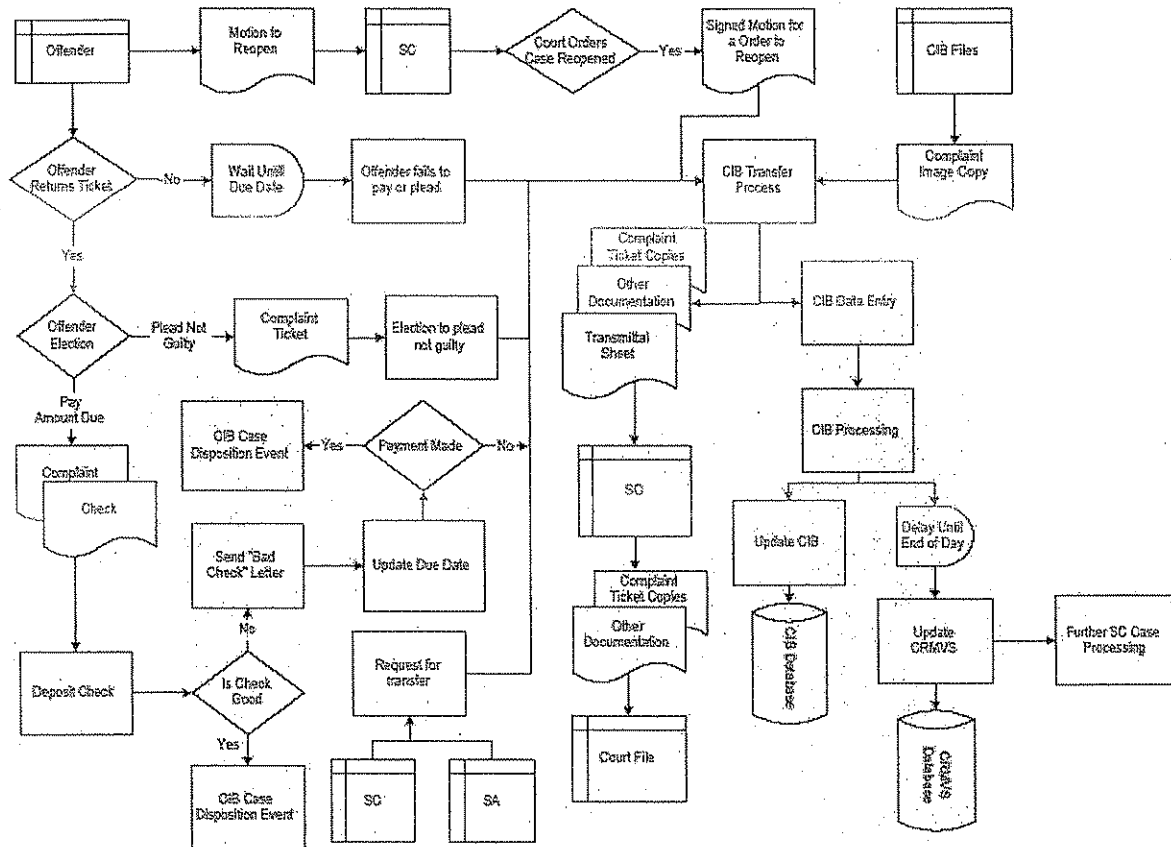
## Citation Work Flow



### Complaint Ticket Arrest "As-Is" Business Process



## Centralized Infractions Bureau Case Transfer "As-Is" Business Process







### Workflow Legend

Acronym	Agency
AA	Arresting Agency, typically one of the following: <ul style="list-style-type: none"> <li>• Local Law Enforcement,</li> <li>• State Police, or</li> <li>• any State agency with power of arrest.</li> </ul>
AE	Alcohol Education
AP	Office of Adult Probation
AS	Office of Alternative Sanctions
BC	Bail Commission
BP	Board of Parole
CB	Centralized Infractions Bureau
DC	Department of Correction
FD	Family Division
JV	Juvenile Matters
MV	Department of Motor Vehicles
PD	Division of Public Defender's Services
SA	State's Attorney
SC	Superior Court Operations
SP	Department of Public Safety – Division of State Police, State Police Bureau of Identification
VS	Office of Victim Services
CJ	Criminal Justice Information System-Offender Based Tracking System (CJIS_OBTS)

### Deficiencies In Current Traffic Citation Adjudication Systems

1. The current "As Is" traffic citation adjudication system in Connecticut is heavily dependent upon manual processing.
  - The traffic citation is physically handwritten by law enforcement:
    - Handwritten citations can be illegible;
    - Inaccurate infraction information can be entered into the citation;
    - Operator/registration information can be inadvertently written in error; and
    - The citation document itself is limited in space.
  - Law enforcement enters the citation information into its Records Management System (RMS) and then submits the "paper" citation to Judicial
    - Unlike the Administrative Per Se program, there is no minimum required transmittal time for the submission of the paper citations, thereby causing processing delays.
  - Judicial, upon receipt of the paper citation (which can be up to five weeks or, in limited instances, never), must manually scan the ticket/attachments into its imaging system and then data enter the citation information into its mainframe. The amount of time it takes to enter the citation, upon CIB's receipt of the citation, is on average not more than five days. Presently, CIB processes between sixty percent to seventy percent of all payable by mail infractions.
  - In the fiscal year ending June of 2003, the Centralized Infractions Bureau (CIB) manually scanned and data entered approximately 419,000 citations.
  - For the fiscal year ending June of 2003, motor vehicle related citations requiring a court appearance<sup>1</sup> (i.e. non-mail payment offenses) totaled approximately 77,000 citations with an average court processing time of approximately 257 days (from receipt to disposition).
  - Judicial's lockbox vendor's processing requirements/system places some limitations on the design of the actual Complaint ticket.
  - Judicial Information Systems (JIS) transmits on a daily basis to DMV, via the Department of Information Technology (DoIT), conviction information; DMV batches the conviction information and updates the driving history record on a weekly basis.
  - JIS conviction records that do not match DMV's existing operator license file information are compiled into an error file for manual review and processing. DMV receives approximately 3000 to 3500 error file records per week.
  - Any Judicial and/or law enforcement errors or omissions must be manually responded to and processed by DMV.

<sup>1</sup> These offenses include the following Connecticut General Statutes, Sections 14-147(c), 14-147a, 14-213, 14-215, 14-219( c)(2), 14-219(b)(3), 14-222, 14-222\*, 14-224(b), 14-227a, and 38a-371.

2. Presently, there is no central, statewide traffic citation adjudication tracking database/system to track the citation from its inception through to the recording of its disposition. Consequently, the traffic citation adjudication community (TCA) does not have access in a real-time or near real-time manner to the necessary information it requires for operational and/or decision support.
3. Current information systems that support TCAS are stand-alone legacy based systems with flat file structures. For instance, the DMV's non-relational registration/operator information system's records contributes to the inability of law enforcement personnel to get a comprehensive view of the individual at a roadside traffic stop.
4. A significant number of DMV's vehicle registration data is keyed in manually, from a handwritten H-13 Registration Form, by a centralized data entry unit. This process not only adds weeks to the entering of registration information into the vehicle registration system, but is prone to data entry processing errors. Presently, law enforcement utilizes this data for its handwritten citations.
5. Law enforcement at a roadside traffic stop does not have timely access to the DMV's digitized photo license images. Consequently, law enforcement's inability to have roadside access to DMV's photo license images increases the chances that errors may occur in the issuance of a citation to an individual.

**D. Evidence of any systematic assessment or documentation of the impaired driving information system, including a Traffic Records Assessment, and any long-term improvement plans.**

Connecticut recently completed one of the most extensive traffic records assessments ever conducted by a state. This assessment, which was presented to NHTSA's National Center for Statistics and Analysis in May 2004, is available online at <http://pub6.ezboard.com/btrafficsafety>, a discussion forum for State Traffic Records Committees. Highlighted in this assessment is another recently completed effort titled, Connecticut Traffic Citation Adjudication System (TCAS) Study – January 2004. It is believed that this is the only state citation adjudication tracking system study conducted in the U.S. within the past couple years.

Other impaired driving information system related assessment/planning efforts, include a Highway Safety Information System Action Plan – December 2001, an Impaired Driving Assessment – October 2000, Traffic Records Assessment – December 1999, and Strategic Vision for Traffic Records – June 1996.

*(See index for attachments.)*

Connecticut has a Traffic Records Coordinating Committee (TRCC), which meets regularly. Major recommendations considered from the recent assessments/studies, include electronic roadside data capture of citation information, utilization of new and emerging technologies, standards and guidelines for data collection and reporting, promotion of file linkage to better combat impaired driving, focus on methods to effectively track citations and their dispositions, and implementation of a decision support/data warehousing environment for an automated citation reporting system. Coupled with the identified highway safety assessment and strategic planning efforts, the state has incorporated a criminal justice research capability into an Offender Based Tracking System (OBTS), now becoming operational. OBTS will provide a secure infrastructure for further including a model impaired driving records information system.

**E. Description of the extent to which Connecticut currently meets the ten specific features of the model system and challenges and/or barriers.**

1. Statewide Coverage (DMV, all courts adjudicating impaired driver cases, all law enforcement agencies).

The Traffic Citation Adjudication System study was completed recently. This study involved all operational (Law Enforcement, Judicial, DMV) as well as research and analysis consumers. (See attached). This study provides an initial design of critical components, such as

- o E-Citation environment where documents are scanned to complete the (uniform) citations, citations are stored upon electronic signature, and all critical users ( Law Enforcement, DMV, Judicial) have the ability to access/track citations in real-time.
- o Decision Support/Data Warehousing environments were case-based/traffic citation data can be retrieved in a data store to support real-time operational queries, or in a near real-time repository to support research and analysis.

OBTS provides Offender-based data to law enforcement and justice staff in statutory defined criminal justice agencies state-wide

There is a unified court system state-wide.

The DMV and Courts have access to each other's information systems

2. "Real-time" electronic access to driver history information (license history, current status, vehicle registration status, applicable criminal history and outstanding warrants).

Currently law enforcement has real-time access to DMV data via COLLECT, and as planned by TCAS via an Operational Data Store. Courts and State Attorneys already are electronically accessing DMV information.

3. Electronic citation system that is used by officers at the roadside and/or at the police station.

TCAS study provides the initial design for roadside and station using bar code and other needed technology.

OBTS will be incorporated and facilitate the exchange/accessibility of offender-based data and will complement the information available to Law Enforcement, DMV, and Judicial as related to impaired driving events.

4. A citation tracking system that accepts electronic citation data (and other standard legal forms) tracking the distribution of citation forms.

The design currently in place includes the capture, both at roadside and at the station, the real-time store and access/tracking of the citations. This process will include case and offender-based data via the "marriage" of the already designed OBTS and TCAS' planned designs.

5. Immediate electronic transmission of data from enforcement agencies and the judicial process to the driver license system to permit immediate and automatic administrative sanction.

The Reengineering of the Regulation Of Driver Systems Project, currently in the final phase of the requirements analysis and initial design stages, identifies the shared database environment and a complete re-design of the Driving History files/interfaces that should facilitate near real-time transmission of data between Judicial and the DMV. DMV is currently seeking the appropriate funding for implementation of this project.

6. Electronic reporting to courts and the DMV by probation and corrections agencies to report non-compliance with administrative or court sanctions.

CJIS-OBTS' infrastructure captures changes to the status of an offender. OBTS is in the process of implementing the reporting elements relative to corrections and probations.

DMV currently stores Driving History events relative to administrative programs. This data is currently available to the courts. Through this project, offender-based, as it relates to impaired driving, will be made available.

7. Linkage of information from the incident/case tracking system and the offender-based DMV license and probation systems to develop a complete record for each offender.

Infrastructure currently exists in the OBTS environment. DUI is to be included.

8. Timely access by all stakeholders including the highway safety office to produce statistical reports needed to support agency operations and manage the impaired driver control system, identify trends, and support problem identification, policy development, and evaluation of countermeasures.

The TCAS study has identified and designed decision support environments that will support both operational/tactical requirements as well as formal statistical analysis and research of Traffic Citation Adjudication information

OBTS, whose infrastructure is already in place, will be enhanced to accept information from DMV, et al, and provide DSS to all requesting consumers

9. Flexibility to include additional data and technological innovations.

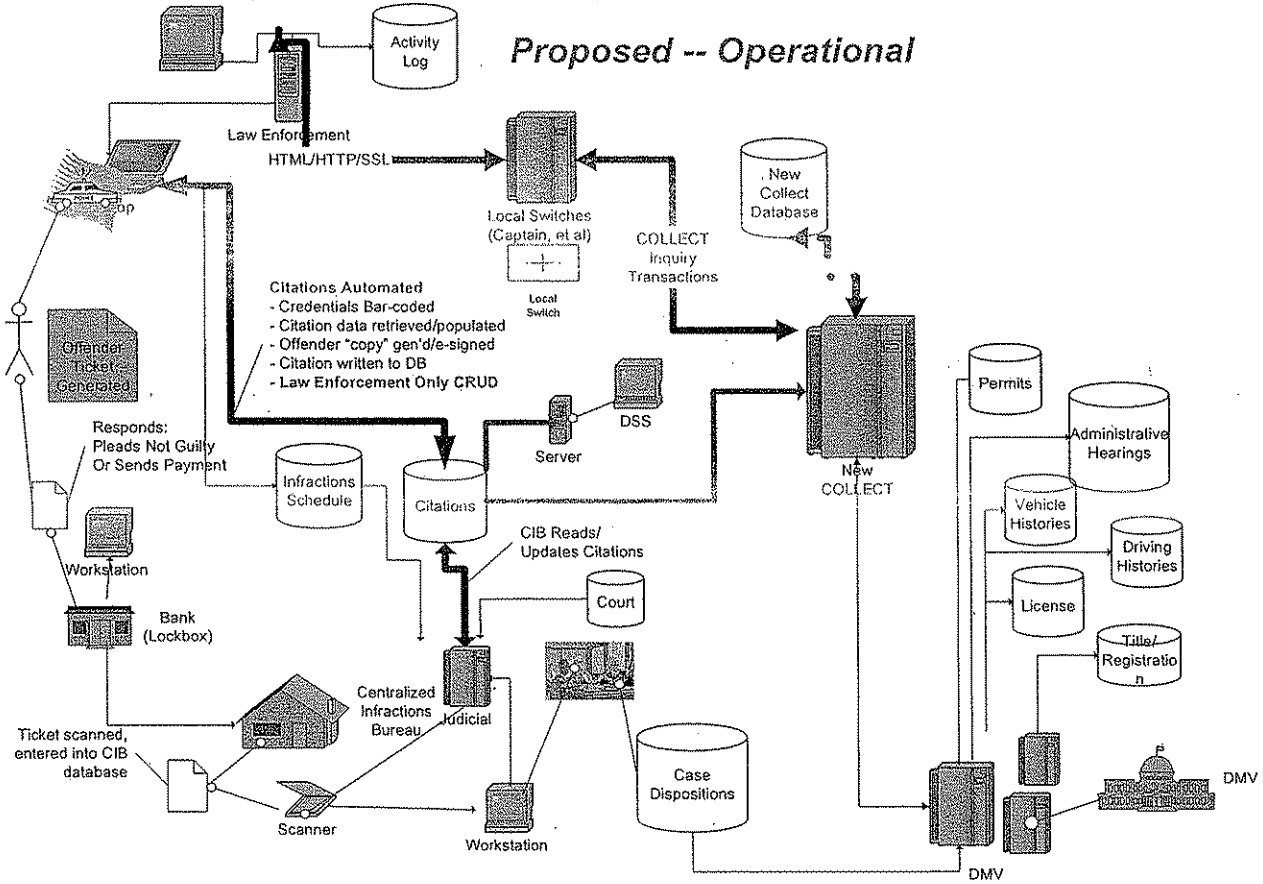
Architectural considerations that are to be met by all technology projects in Connecticut are required to be compliant with the state's published Enterprise-wide Technology Architecture (EWTA). These guidelines require such innovations as relational database management systems (RDBMS), appropriate platform selections, component-based

development be based on local and state-wide enterprise data and process models.

10. Compliance with national standards developed by American Association of Motor Vehicle Administrators (AAMVA) and National Crime Information Center (NCIC)
  - Global Justice Data XML
  - Web-based extensive security protocols
  - OBTS compliant with NCIC
  - DMV compliant with AAMVA
  - PR-1 (Accident Report) is MMUCC compliant



**Proposed -- Operational**



## **F. Project Plan**

### **1. Collection Of Information**

Collection of information to support operational tasks related to citation processing..

- **Roadside**  
Replace the current paper-based practice with an automated "e-citation" environment
- **Station**  
Replace the current paper-based practice with an automated "e-citation" environment – complementing and coordinated with the roadside collection.
- **Interfaces**  
Provide support for the interfaces to/from all users, including Law Enforcement, Department Of Motor Vehicles (DMV), and the Courts. This includes, but may not be limited to information:
  - To Law Enforcement in support the citation process;
  - To the DMV in support of Driving Histories
  - To the Courts in support of adjudication of citations

### **2. Management/Dissemination Of Information**

- **Operational Environment**  
Provide real-time Decision Support System (DSS) to all users, such as Law Enforcement, DMV, Courts, in the form of one or more DSS data stores.
- **Decision Support Environment (Traffic Citations Repository)**  
Implement a state-of-the-art environment to support to all users of Traffic Record information. Users would include local, state, and federal agencies that have a need to perform research/statistical analysis on "case-related" data.
- **Decision Support (OBTS Repository)**  
Enhance the current state-of-the-art OBTS to support research to all users of criminal information. Users would include local, state, and federal agencies that have a need to perform research/statistical analysis on "offender-based" data.

**Cost Estimate:**

1. Collection Of Citation Information

- Hardware
  - Thermal Printers: \$ 90,000 [300 Units@\$300/Unit]
  - Scanners: \$150,000 [300 Units@\$500/Unit]
  - Servers: \$ 21,000 [3 Servers@\$7,000]
  - **Sub-Total:** \$275,000
- Software:
  - Forms Software \$ 85,000
  - RDBMS License \$ 90,000
  - **Sub-Total:** \$175,000
- Consulting Services:
  - Collection Of Information \$388,320
  - Forms Development \$ 45,990
  - **Sub-Total:** \$434,310
- **Component Sub Total:** \$870,310

? see pg 16

2. Decision Support Environment – Traffic Records:

- Hardware
  - Servers: \$ 6,000 [1 Servers@\$6,000]
  - **Sub-Total:** \$ 6,000
- Software:
  - RDBMS License \$ 50,000
  - **Sub-Total:** \$ 50,000
- Consulting Services:
  - Traffic Records Repository \$196,360
  - **Sub-Total:** \$196,360
- **Component Sub Total:** \$252,360

3. Decision Support Environment – Offender Based Tracking System:

- Hardware
  - Servers: \$ 7,000 [1 Servers@\$7,000]
  - **Sub-Total:** \$ 7,000
- Software:
  - RDBMS License \$ 60,000
  - **Sub-Total:** \$ 60,000
- Consulting Services:
  - OBTS Repository \$476,460
  - **Sub-Total:** \$476,460
- **Component Sub Total:** \$543,460

**Total Project Cost: \$1,666,310**



**G. Describe project plan's improvements/innovations in detail; percent of state's system affected.**

The following is a list of planned improvements/innovations for this project:

1. Electronically automate the citation process.
  - ☐ Electronically populate the citation forms via an interface (direct or bar-code scanned) with DMV's operator and registration information systems. By electronically pulling DMV data to the front-end of the citation process, it allows for uniform data throughout the entire traffic citation adjudication community (law enforcement, adjudication, record keeping).
    - ☐ Eliminates the need for handwritten citations
  - ☐ Electronically scan any images or attachments.
  - ☐ Use of table driven information permits the expansion of e-citation into electronic access of the Judicial's On-Line Statutes and local ordinances. Additionally, the use of tables would permit a law enforcement officer to select the appropriate citation form via a specific statutory reference (i.e. a cite for DUI Section 14-227a CGS would automatically pull up the Misdemeanor and Summons Complaint form).
  - ☐ Electronically submit citation information, within a specified period of time, to the Judicial Branch.
2. Develop a centrally located decision support environment, through the creation of a traffic citation adjudication tracking system. This environment would permit the monitoring of the citation from its creation through to its final disposition and would promote the sharing of traffic citation adjudication data among the TCA community. Additionally, a central traffic citation adjudication tracking system will provide the necessary decision support information for monitoring specific offenses (such as DUI).

This environment would be capable of providing:

- ☐ Real-time or near real-time transmittal from a citation's issuance to its disposition.
  - ☐ Real-time or near real-time for law enforcement activity log and event messaging.
  - ☐ Just-in-time data access (standard data warehouse) for global and data mart uses.
3. Ensure the timeliness of traffic citation data/information, such as DUIs, to the user community
    - ☐ Electronically automate citations from roadside to Judicial, thereby allowing to process citations more efficiently through the entire traffic citation community.
  4. Foster the better use of technology to improve and support DUI enforcement

- ☐ Emphasize e-citation systems that emphasize interoperability with other existing information systems (plug and play concept).
  - ☐ Direct interface connectivity with TCAS support information systems.
  - ☐ Bar coding of credentials, citations. etc....
  - ☐ Scanning of images and citation attachments.
  - ☐ Digitized images should be accessible at the roadside through the COLLECT system or a secured network.
  - ☐ E-signatures for citations.
  - ☐ Expanded use of reference tables to support e-citations.
5. CJIS-OBTS will be expanded to capture DMV's DUI administrative sanction actions such as Administrative Per Se and Driver License Compact DUIs. This improvement will allow the traffic citation community to have a more comprehensive view of a DUI offender.
6. Lastly, facilitate the electronic exchange of arrest information to the courts through CJIS-On-Line Booking project.

See attached TCAS and Traffic Records Assessment for further details.

**H. Innovations to hardware or software and methods to be employed (including costs).**

The innovations and methods include:

1. Roadside Electronic Citations
2. Coordination through the TRCC to ensure cooperation of agencies involved as well as the avoidance of duplication of effort
3. Incorporation of "lessons learned/best practices" of other states
4. State of the art decision support system mechanisms, such as real-time repositories of offender data.
5. Enabling the system components to be made available to other states, via technology transfer.

**I. Designated lead agency and project director:**

Lead Agency: Policy Development and Planning Division, Office of Policy and Management

Project Director: Theron Schnure, Assistant Director, Policy Development and Planning Division, member State Traffic Records Coordinating Committee.

Other personnel critical to the successful documentation of the proposed project, and their roles and responsibilities:

Susan Maloney, Governor's Highway Safety Representative, Connecticut Department of Transportation, State Traffic Records Coordinating Committee.

George White, Division Manager, Connecticut DMV Division of Planning, Research and Analysis, member State Traffic Records Coordinating Committee

Philip Halibozek, Captain, Connecticut State Police, Field Technology Section, member State Traffic Records Coordinating Committee.

Paul Jakubson, Chief Of Police, Madison, CT, Chairman of the Telecommunications and Technology Committee of the Connecticut Police Chief's Association (CPCA), member State Traffic Records Coordinating Committee.

David Bozak, Division Of Highway Safety Liaison to the Traffic Records Coordinating Committee (TRCC)

Larry D'Orsi, Judicial Branch, Deputy Director Criminal Court Operations

The project director and each of the key personnel have established roles and ongoing relationships for coordination of DUI information within their respective agencies/networks. This project will be incorporated into the broader framework of state traffic records improvement efforts to ensure coordination, continuity and transferability to other jurisdictions. This will allow for staffing roles and responsibilities the key staff to remain consistent in Connecticut's current environment

A project steering committee comprised of members from each stakeholder agency and members of the State Traffic Records Coordinating Committee (TRCC) will provide additional project guidance and will encourage stakeholder buy in and participation. The TRCC is comprised of the following traffic safety related entities: Connecticut Department of Transportation, Judicial Branch, Department of Public Safety, Department of Motor Vehicles, Department of Public Health, Connecticut Police Chief's Association, Chief State's Attorney's Office, Office of Policy and Management, Regional



Planning Association of Connecticut, and the Department of Information and Technology.

In addition, the CJIS advisory board and IS Implementation Group provides a forum and process for guidelines. The CJIS organizational structure includes law enforcement, judicial, and victim advocacy agencies and will provide future opportunities in participations.

Documentation will be ongoing. Staffing for project documentation will be provided by the stakeholder agencies and will be funded from agency operational budgets or other funding outside this request. Documentation of new or modified software applications will be included as a deliverable within the development contract.

Application development will be accomplished through a combination of agency, vendor, or consultant contracts. Funding sources will include this cooperative agreement, agency operating budgets and other sources.

Project evaluation will be completed by agency staff and funded by agency operating budgets. (See F. Project Plan).

**J. Specify a mechanism for ensuring participation or buy-in of the stakeholders throughout project.**

The mechanism for ensuring participation or buy-in of the stakeholders throughout the project is the involvement of these advisory committees:

- CJIS (Criminal Justice Information System)
- Traffic Records Coordinating Committee which recently oversaw the Traffic Citation Adjudication System Study and the Traffic Records Assessment, is composed of middle managers, supervisors and other local, state and Federal departments who work with traffic records or highway information systems.

Please refer to Section "N" (Letters of Endorsement of Key Stakeholders).

**K. Proposed level of effort, including staffing plan.**

Project Director

**Theron A. "Terry" Schnure**

Professional Biography

Mr. Terry Schnure is directing the development of Connecticut's integrated Criminal Justice Information System (CJIS) among the criminal justice agencies in both the executive and judicial branches of the State. He is an Assistant Division Director with the Connecticut Office of Policy and Management, Justice Planning Program.

The major CJIS initiative is the establishment of an Offender Based Tracking System (OBTS), a \$25.3 million project that is linking all offender information from the time of an incident and arrest to the release from supervision and beyond. The OBTS will serve all of the criminal justice agencies and non-criminal justice agencies, as authorized, in the State. Special programs in the Connecticut CJIS initiative include a Mobile Data Communication System (MDCS), the National Incident Based Reporting System (NIBRS), the National Instant Criminal Background Check System (NICS), a Sex Offender Registry, a Protective Order Database, and the State's Criminal History System with a related on-line booking system. Recently, projects for a new Automated Fingerprint Identification System (AFIS) and a modification to the law enforcement telecommunication system have been initiated through the Department of Public Safety. He has drafted and subsequently implemented legislation in support of the criminal justice initiatives, including criminal history record systems and procedures for access to criminal history records, in situations of use for non-criminal justice purposes. He initiates CJIS State funding requests and administers funding allocations. He prepares CJIS related Federal funding applications and administers Federal funding awards. Through the Justice Planning program, he is coordinating the State funding with Federal funding programs to provide for the common support of the CJIS-OBTS in Connecticut and for the integration and interoperability of Connecticut's criminal justice information systems.

He is the Connecticut representative to SEARCH, the national consortium of Justice Information and Statistics. Mr. Schnure received his B.S. from the Pennsylvania State University and his M.S. from the Florida State University.

**L. Proposed budget for performance of this cooperative effort.**

**Detailed Budget and Budget Narrative**

The State of Connecticut is proposing to implement a Model Impaired Driving Records Information System which is integrated with existing infrastructures and builds upon extensive system development that provides detailed offender information to criminal justice users in the Executive and Judicial Branches of Connecticut government. The opportunity provided by the U.S. Department of Transportation, National Highway Traffic Safety Administration (USDOT-NHTSA) provides an opportunity to further automate and develop our information systems to more specifically capture data on offenders, now with a focus on impaired driving (DUI), at or much closer to the time an offense is committed. With this funding, State programs may be expanded to provide data on DUI offenses for use in both criminal adjudication and/or administrative hearing processes.

The combined budgets for the projects, which comprise this application, total \$ 1,666,130 in Federal funds. The budget is distributed over the object class categories as follows:

	<u>Program</u>
Personnel:	
Fringe Benefits:	
Travel:	
Equipment:	274,000
Supplies:	
Contractual:	1,107,130
Construction:	
Other:	285,000
Indirect Charges:	
	<hr/>
Total:	1,666,130

This funding is also distributed into projects as follows:

	<u>Project Amounts</u>
Collection of Citation Information	870,310
Environment - Traffic Records	252,360
Environment – Offender Based Tracking System	543,460
	<hr/>
Total:	1,666,130

The detailed budget and budget narrative is combined and organized by project within object cost categories.

The projects are more extensively described in the Project Plan. The program narrative descriptions reference both cost and program categories; categorized budget descriptions are included in the program narrative descriptions as well.

With respect to the "contractual" object class, the costs associated with each project utilizing contractual services are for a total project cost or task by task cost basis, which may be aggregated to a total project cost. Detailed budget costs for the respective projects are reflective of team effort or multiple person participation scaled to periods. Costs indicated are estimates based on levels of effort over a period of time. The estimated contractual costs are all inclusive, e.g., inclusive of personnel, fringe, burden, travel and other vendor expenses which will be determined by competitive bidding and negotiation, in accordance with the Connecticut procurement practices.

To the extent that the projects contain estimated costs for data processing services in conjunction with the consultant services, including software purchases and installation and/or data processing charges from the state's data processing facilities, the rates associated with the data processing are consistent and in conformance with OMB Circular A-87. The costs indicated are for the indicated rate basis, which will vary by the type of service utilized and estimated number of hours. Software purchases, if any, are made pursuant to State purchasing procedures, and in many cases are consistent with or exceed the benefits of GSA purchasing schedules.

The detailed federal fund object class category costs for this application, Year Five NCHIP funding, associated with each of the respective projects are indicated as follows:

**Direct Charges:**

**Equipment:**

			<u>274,000</u>
	<u>Price</u>	<u>Quantity</u>	<u>Amount</u>
<b>Collection of Citation Information</b>			
Thermal Printers	300	300 ea	90,000
Scanners (Card)	500	300 ea	150,000
Servers (Prod, Staging, Devel)	7,000	3 ea	21,000
			<u>261,000</u>
<b>Environment – Traffic Records</b>			
Servers (Prod)	6,000	1 ea	6,000
			<u>6,000</u>
<b>Environment – OBTS</b>			
Servers (Prod)	7,000	1 ea	7,000
			<u>7,000</u>

**Contractual:**

			<u>1,107,130</u>
	<u>Cost</u>	<u>Period</u>	<u>Amount</u>
<b>Collection of Citation Information</b>			
System Designer(s)	1,984	105 da	208,320
Forms Developer(s)	1,533	30 da	45,990
Application Developer(s)	1,800	100 da	<u>180,000</u>
			434,310

**Environment – Traffic Records**

System Designer(s)	1,984	40 da	79,360
Application Programmer(s)	1,800	65 da	<u>117,000</u>
			196,360

**Environment – OBTS**

System Designer(s)	1,984	75 da	148,800
Forms Developer(s)	1,533	20 da	30,660
Application Developer(s)	1,800	165 da	<u>297,000</u>
			476,460

**Other:**

285,000

	<u>Price</u>	<u>Quantity</u>	<u>Amount</u>
<b>Collection of Citation Information</b>			
Forms Software	85,000	1 ea	85,000
RDBMS Software	90,000	1 ea	<u>90,000</u>
			175,000
<b>Environment – Traffic Records</b>			
RDBMS Software	90,000	1 ea	<u>50,000</u>
			50,000
<b>Environment – OBTS</b>			
RDBMS Software	90,000	1 ea	<u>60,000</u>
			60,000

**Indirect Charges:**

**Total:**

1,666,130

**M. Financial resources.**

Connecticut has put in place a variety of foundational and infrastructure related information systems such as CJIS-OBTS, COLLECT, CJIS-On-Line Booking, Judicial's On-Line Statutes, and DMV's replacement of mainframe/legacy applications for the Administrative Per Se and Adjudications (i.e. Hearings) processing systems. Although the above referenced projects do not provide direct monetary matches to this project, the state's in-kind contributions for these projects provide a strong core of functionality for the expansion into a statewide impaired driving records information system.



**N. Letters of endorsement**

Please see the attached.

**O. Evidence that Connecticut has had a history of supporting improvements to the impaired driving information system and using up-to-date technologies and innovations:**

The following improvements have been made, or planned, to the state's traffic citation adjudication community's information systems, some of which are general in nature (core information sources for DUIs), while other systems are specifically related to the improvement of impaired driving information systems.

- DMV- Operator license system
  - Digitized license
  - Image identification and verification software
  - AAMVA compliant bar coding (PDF 417).
  - Administrative Per Se stand-alone legacy system upgraded to a mid-range system (shared database).
  - Adjudications System (such as DUI administrative hearings) stand-alone legacy system upgraded to a mid-range system (shared database).
  - Real-time On-Line Registration System (RTOL)
  - An RFP has been issued by DMV to develop and implement a relational and shared database.
  - Reengineer of the Operator Control System
  - DMV received a federal grant through DOT's Division of Highway Safety, to develop the business and technical requirements to reengineer the agency's Operator Control System (which includes operator license, license status, driving history information, etc...) from its current non-relational and flat file structure to a relational and shared database. This project is entitled "Reengineering of the Regulation of Driver Services."
- CJIS-OBTS
  - DUI conviction data from the courts.
- CJIS-On-Line Booking
  - Planned design will permit electronic capture, transmittal, and integration of arrest data into court's information system.
  - Statewide standard for booking.
- COLLECT
  - Rebuilding of current system to replace technology and infrastructure to better meet the future needs of law enforcement (e.g. message switch to allow a statewide, standard interface for all of law enforcement).
- Department of Public Safety/Division of Scientific Services, Controlled Substances Section

- Through grants from the Department of Transportation, Division of Highway Safety, the State Toxicology Laboratory has been able to upgrade its drug screening capabilities. By analyzing/screening all blood and urine as well as breath samples for the presence of alcohol or other drugs, a more comprehensive picture of the DUI issue is available for users, including the Division of Highway Safety, State Prosecutors, and DUI enforcement personnel.
- Connecticut State Police- DMV's Commercial Vehicle Safety Division
  - Federal grant to implement CVARS for commercial vehicle accident information to FMCSA's SafetyNet.
- CAPTAIN- Bluelink-Mobile Data Terminals
  - Bluelink is an information system that electronic captures accident information at roadside. Bluelink was developed as an automated law enforcement inquiry and data collection facility application utilizing mobile data terminals in patrol cars.
  - Bluelink sits on the state-wide Mobile Data Communication System currently used by 85 municipalities.

**P. Past Performance and Financial Responsibility**

1. The Office of Policy and Management is an entity of the State of Connecticut.  
Given this we are uncertain as to whether this section is applicable to such a governmental entity. Nevertheless, if NHTSA deems this section to be applicable to a state governmental entity, please refer to the list of projects stated in Section O as past performance history of work.
2. No
3. Not applicable

## Letters of Endorsement

Department of Transportation, Division of Highway Safety

Judicial Branch, Office of the Chief Court Administrator

Department of Public Safety, Division of State Police

Connecticut Police Chiefs Association

Department of Motor Vehicles



STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION



2800 BERLIN TURNPIKE, P.O. BOX 317546  
NEWINGTON, CONNECTICUT 06131-7546  
Phone: (860) 594-2370

July 13, 2004

Ms. April L. Jennings  
400 Seventh Street, SW  
Room 5301  
Washington, DC 20590

Dear Ms. Jennings:

Subject: Discretionary Cooperative Agreement To Support  
The Demonstration of a Model Impaired Driving  
Records Information System

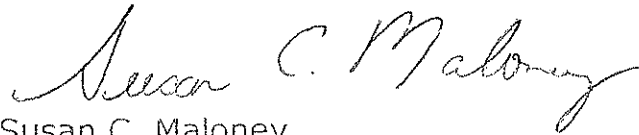
I am pleased to offer the Division of Highway Safety's support of Connecticut's application to the National Highway Traffic Safety Administration, the goal of which is to provide for a Model Impaired Driving Records Information System.

The opportunity for this grant could not have come at a better time for Connecticut. Our active Traffic Records Coordinating Committee, together with recently completed efforts in various projects, will provide the significant background from which to build on. Through the strategies outlined in this proposal, we will be able to revitalize and strengthen our efforts in the traffic records area.

Connecticut's highway safety team: representatives from state agencies, enforcement, private, corporate and citizen partners, along with the National Highway Traffic Safety Administration's New England Office, are committed to work together toward assuring a successful program.

Thank you for your consideration of this application. The National Highway Traffic Safety Administration's continued support in our highway safety efforts is greatly appreciated.

Very truly yours,

A handwritten signature in cursive script that reads "Susan C. Maloney". The signature is written in dark ink and is positioned above the printed name.

Susan C. Maloney  
Governor's Highway Safety  
Representative



STATE OF CONNECTICUT  
JUDICIAL BRANCH

CHAMBERS OF  
JOSEPH H. PELLEGRINO, JUDGE  
CHIEF COURT ADMINISTRATOR

231 CAPITOL AVENUE  
HARTFORD, CT 06106

July 14, 2004

Ms. April L. Jennings  
National Highway Traffic Safety Administration  
Office of Contracts and Procurement (NPO-220)  
400 Seventh Street, SW., Room 5301  
Washington, DC 20590

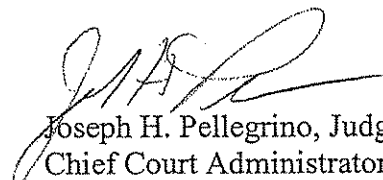
RE: NHTSA Cooperative Agreement Number DTNH22-04-H-05110

Dear Ms. Jennings:

The State of Connecticut Judicial Branch is pleased to endorse the pursuit of the Model Impaired Driving Records Information System.

The information that will be made available through the Impaired Driving Records Information System will benefit numerous agencies involved in the processing and tracking of impaired driving cases. The Judicial Branch looks forward to working with the Department of Motor Vehicles, the Department of Transportation, the law enforcement community and other state agencies to develop this initiative.

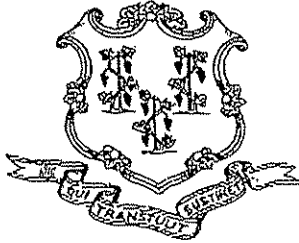
Sincerely,



Joseph H. Pellegrino, Judge  
Chief Court Administrator



# STATE OF CONNECTICUT



## DEPARTMENT OF PUBLIC SAFETY DIVISION OF STATE POLICE

Accredited Since 1988

*Colonel Edward J. Lynch*  
Commanding Officer

*Lieutenant Christopher G. Arciero*  
Chief of Staff

July 14, 2004

Ms. April L. Jennings  
400 Seventh Street, SW  
Room 5301  
Washington, DC 20590

Dear Ms. Jennings:

I am pleased to offer the support of the Connecticut State Police for the application to provide for a Model Impaired Driving Records Information System, which was submitted by the State of Connecticut.

Traffic safety is one of the missions of the Connecticut State Police. We actively participate in the Traffic Records Coordinating Committee, which recently completed several projects, including an assessment of Traffic Records Information Systems. This project puts Connecticut in a good position to move forward with formulating and implementing this program.

Thank you for your consideration of this application. We look forward to the opportunity of working on this project with our partners in traffic safety.

Sincerely yours,

*Col. Edward J. Lynch*  
Colonel Edward J. Lynch  
COMMANDING OFFICER

Phone: (860) 685-8000, Fax: 860-685-8354  
1111 Country Club Road Middletown, CT 06457-9294  
*An Equal Opportunity Employer*



TOWN OF MADISON  
CONNECTICUT

DEPARTMENT OF POLICE SERVICES



PAUL D. JAKUBSON  
CHIEF OF POLICE

**COMMISSIONERS**

ROBERT E. CEROSKY, CHAIRMAN  
CRAIG W. CAPLINGER, VICE-CHAIRMAN  
WILLIAM NICHOLLS, CLERK  
EMILE GEISENHEIMER  
MICHAEL HEANEY

July 8, 2004

Ms. April Jennings  
National Highway Traffic Safety Administration  
Office of Contracts and Procurement (NPO-220)  
400 7<sup>th</sup> Street SW Room 5301  
Washington, DC 20590

RE: 2004 NHTSA Cooperative Agreement Number DTNH22-04-H-05110

Dear Ms. Jennings:

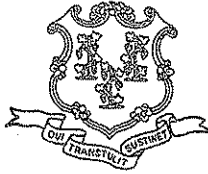
Please receive this letter of support of the Connecticut Office of Policy and Management application to develop a Model Impaired Driving Records Information System. According to Connecticut Department of Transportation statistics for 2002, Connecticut lost 110 citizens that year; 1,783 people were injured in alcohol-related crashes.

The Connecticut Police Chiefs Association (CPCA) is made up of chief executive officers of law enforcement agencies in Connecticut, and its membership is active in multi-agency highway traffic safety efforts. The implementations of the Model OWI Tracking System will aid in these efforts. As Chairman of the Connecticut Police Chiefs' Association Telecommunications and Technology Committee, I am writing as its representative in support of this cooperative agreement to develop a safety-minded driving records information system.

Sincerely,

Paul D. Jakubson  
Chief of Police

csh



STATE OF CONNECTICUT  
*Department of Motor Vehicles*

ANTHONY D. PORTANOVA  
*Deputy Commissioner*

Telephone: (203) 805-6019  
Facsimile: (203) 805-6157  
E-mail: Anthony.Portanova@dmvct.org

July 15, 2004

Ms. April L. Jennings  
National Highway Traffic Safety Administration  
400 Seventh Street, SW, Room 351  
Washington, D.C. 20590

RE: Discretionary Cooperative Agreement To Support The Demonstration of a  
Model Impaired Driving Records Information System

Dear Ms. Jennings:

I am pleased to offer the Department of Motor Vehicles' support of Connecticut's application to the National Highway Traffic Safety Administration's (NHTSA) for the Model Impaired Driving Records Information System.

The Connecticut Department of Motor Vehicles (DMV) has recently participated in the Traffic Citation Adjudication System study (TCAS), with our traffic citation adjudication community partners in law enforcement, highway safety, and the Judicial Branch, involving the planning for the improvement of the state's traffic citation and adjudication processes. It is the Department's position that NHTSA's Model Impaired Driving Records Information System would assist the traffic citation adjudication community in building a stronger foundation for traffic safety in our state.

Connecticut's traffic citation adjudication community has proven its ability and willingness to working together as a unified team to successfully achieve our desired goals. Hence, we are supportive of Connecticut's application for NHTSA's Model Impaired Driving Records Information System and are grateful for the opportunity to apply for this grant.

Sincerely,

Anthony D. Portanova  
Deputy Commissioner  
Department of Motor Vehicles  
State of Connecticut